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Docket Number

70404 73/ok

JCO5 Rec'd PCT/PTO 14 SEP 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE 10/549503

In re. application of : Hideki UCHIDA	International Application No.:
Serial No.: Unknown	PCT/JP2004/003044
Filed: Concurrently herewith	International Filing Date:
For: DIMMING DEVICE AND DISPLAY DEVICE INCORPORATING THE SAME	March 9, 2004

INFORMATION DISCLOSURE STATEMENT

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §1.56, and in recognition of his duty to disclose to the United States Patent and Trademark Office relevant information known to be material to patentability, Applicant herewith submits the attached Form PTO-1449.

The relevance of Reference No. 1 is discussed on page 1 of the substitute specification filed concurrently herewith.

Reference Nos. 2-10 were cited in the attached International Search Report for PCT Application No. PCT/JP2004/003044.

The relevance of Reference No. 11 is discussed on page 1 of the substitute specification filed concurrently herewith.

The relevance of Reference No. 12 is discussed on page 3 of the substitute specification filed concurrently herewith.

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Reference Nos. 13-18 are additional references that Applicant is submitting herewith.

Applicant does not submit copies of the U.S. references as it is no longer required.

The statement is not a representation that all of the information cited is necessarily effective as prior art against the application.

Applicant respectfully requests that the cited references be made of record in the subject application.

Respectfully submitted,

Date: September 14, 2005

  
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Substitute for form 1449/PTO

# **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 2

## **Complete if Known**

Application Number	
Filing Date	10/549503
First Named Inventor	Hideki UCHIDA
Art Unit	
Examiner Name	
Attorney Docket Number	70404.73/ok

## **U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM -YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	1	5,635,729	06-1997	Griessen et al.	
	2	6,259,853	07-2001	Chen et al.	
	3	6,317,531	11-2001	Chen et al.	
	4	6,310,725	10-2001	Duine et al.	
	5	6,437,900	08-2002	Cornelissen et al.	

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM -YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>9</sup>
		Country Code <sup>3</sup> Number-Kind Code <sup>5</sup> (if known)				
	6	JP 2001-117124 (with English abstract and machine translation)	04-2001	JAPAN		X
	7	JP 2001-133817 (with English abstract and machine translation)	05-2001	JAPAN		X
	8	JP 61-143749 (with English abstract)	07-1986	JAPAN		X
	9	JP 2002-542513 (with English abstract and machine translation) ✓	12-2002	JAPAN		
	10	JP 2002-525679 (with English abstract and machine translation) ✓	08-2002	JAPAN		

Examiner Signature		Date Considered	
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 2 of 2

Complete if Known

Application Number  
Filing Date 10/549503  
First Named Inventor Hideki UCHIDA  
Art Unit  
Examiner Name  
Attorney Docket Number 70404.73/ok

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title Of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	11	HUIBERTS et al., "Yttrium and Lanthanum Hydride Films with Switchable Optical Properties," Nature, March, 1996, pp. 231-234, Vol. 380.	
	12	YOSHIMURA et al., 31-a-ZS-14, "Optical Property of Mg <sub>2</sub> Ni Switchable Mirror Thin Films," Japan Society of Applied Physics, 2001 Spring Meeting, p. 993.	X
	13	VON ROTTKAY et al., "Effect of Hydrogen Insertion on the Optical Properties of PD-Coated Magnesium Lanthanides," Third International Meeting on Electrochromics in London, England, September, 1998, PP. 1-11.	
	14	OUWERKERK, "Thin Film Electrochromic Device with Metal Hydride as Active Material Using Calcium Fluoride Hydride as a Hydrogen Conductor."	
	15	KREMERS et al., "Optical Transmission Spectroscopy of Switchable Yttrium Hydride Films," Physical Review B, February, 1998, Vol. 57, No. 8, pp. 4943-4949.	
	16	VAN DER SLUIS et al., "Solid State Gd-Mg Electrochromic Devices with ZrO <sub>2</sub> H <sub>y</sub> Electrolyte."	
	17	GRIESSEN, "Switchable Mirrors," Europhysics News, Vol. 32, No. 2, 2001, PP. 1-9.	
	18 ✱	UCHIDA, "Display System," U.S. Patent Application filed on the same day as the present application, Attorney Docket No. 70404.72/ok.	

Examiner Signature	Date Considered
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\* Examiner: Initial if reference considered, whether of not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered, include copy of this form with next communication to applicant.

<sup>1</sup> Applicant unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14.